White Paper

for

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"Humanities Open Book Program – Cornell University II"


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Grantee Institution:  Cornell University

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## I. Project Activities

The NEH Humanities Open Book Program at Cornell University Press also known as Cornell Open has established itself as one of the finest publishing achievements in the history of the Press. The methodology for analyzing and selecting impactful out-of-print and deep backlist titles using a combination of subject area specialists, scholars, circulation data, and citations has produced a collection of books that are being read throughout the world. Cornell Open not only provides worldwide access to high-quality humanities and social sciences scholarship — it also fulfills the land grant mission of Cornell University in demonstrating openness, public accessibility and the dissemination of knowledge to shape the future of the world.

Cornell Open reinforces the strengths of the Press's acquisitions portfolio over the last half century. John Ackerman, Roger Haydon, Bernie Kendler and Fran Benson acquired groundbreaking texts that have built the Press's reputation for quality. These NEH grants have reinforced the importance of an editorial vision in the shaping of disciplines such as anthropology, classics, political science and literary criticism. They have strengthened relationships with authors, faculty, Library colleagues, e-book aggregation partners and academic departments at Cornell University. Cornell Open has also expanded the Press's e-book digitization efforts and enabled the development of workflows critical to the creation of digital collections across multiple platforms. The Press remains on track to publish 150 open access titles to commemorate the 150-year anniversary of Cornell University Press in 2019 and is committed to strengthening its position as a leading 21$^{st}$ century university press focused on changing the world one book at a time.

Classic open access monographs continued to be used heavily on JSTOR and Project MUSE. The first round of twenty classic out-of-print titles has generated over 100,000 chapter-level downloads and 200,000 accesses overall in 12,000 institutions located in 152 countries between the JSTOR and Project MUSE platforms alone since 2016. Usage in 2018 for the inaugural batch of titles continues to be steady. For the year July 1 of 2017 through June 30 of 2018, Kindle versions of NEH OA titles were downloaded 21,000 times. Comparatively, for the half-year of that period from January through June of 2018, NEH OA titles on Kindle were downloaded 13,000 times, demonstrating increasing usage. (See Appendix, Figs. 1-3)

On March 15, 2018, the Press published 57 out-of-print titles in literary theory, anthropology, political science, and the classics as OA digital editions. Initial usage on JSTOR is promising after only three months of activity reporting more than 19,838 chapter views and 12,918 chapter downloads. Project MUSE recorded 14,000 views and 7,500 chapter downloads during that same time period. These titles have been downloaded 11,000 times on Kindle. On Cornell Open, these titles have been downloaded 2,500 times. Total accesses for these titles have exceeded 67,000 in three months. (See Appendix, Figs. 4-5)

The top three books with the highest Kindle downloads for NEH second-round titles since March are Stanley Corngold's *Franz Kafka: The Necessity of Form* (1,290), John McGowan's *Democracy's Children* (657), and Harry Shaw's *The Forms of Historical Fiction* (618). At the time of this report, *Franz Kafka* holds a high Kindle ranking of #3 in Logic and Language — atypical for an academic title.

On JSTOR, the highest number of downloads since March are Corngold's *Franz Kafka*: *The Necessity of Form* (2,809), *Fictions of Authority: Women Writers and Narrative Voice* by Susan Lanser (2,069), and Susan Friedman's *Joyce and the Repressed* (1,091).  On Project MUSE, Davydd Greenwood's *The Taming of Evolution: The Persistence of Nonevolutionary Views in the Study of Humans* (1,469), Lavie et al's *Creativity/Anthropology* (1,234) and Sharp & Hanks' *Bang Chan: Social History of a Rural Community in Thailand* (508).

Compiling and analyzing usage statistics for NEH Open Access titles is an arduous task.  The statistics are not automated in any way and arrive in cumbersome spreadsheets that require hours of manipulation.  Reporting criteria also vary.  Amazon's Kindle reports full-book downloads. JSTOR reports on chapter views and downloads (HTML and PDF downloads).  JSTOR also breaks out paid access usage versus open access usage.  Project MUSE reports both together. This brings up interesting questions of whether separating out usage of an open access title among paying institutions is actually a relevant factor.  It's all open access usage whether it has been paid for or not — and open access collections do not add to the package price of the content to libraries.  However, this distinction can be used when making the case for open access.  Open access usage is higher and the global reach is far greater than paid-access, gated content.  If open access monographs are to gain traction within the academy, usage reporting must evolve as it has done with journals and standards must be adopted for reporting.  There are initiatives underway to standardize open access usage across platforms and Cornell University Press will be participating in a new study conducted by Knowledge Unlatched along with University of Michigan Press, Liverpool University Press, and Edinburgh University Press.  NEH Open Access titles will be included in the usage analysis.  It is imperative that apples-to-apples usage standards are created so that we can communicate the viability of OA programs to grant funders, academic libraries and university administrators.

Discoverability for NEH Open titles is not optimal.  A Google search for Brantlinger's *Bread & Circuses* reveals only JSTOR and Amazon in the top three results.  A Google Scholar search delivers the Google Play NEH OA e-book but not any other platforms.  More work is needed to optimize discovery for these titles.  (See Appendix, Fig. 6)

The 57 NEH OA e-books launched too far into the Spring semester of 2018 to make it possible for these titles to be adopted for Spring '18 courses as was the original goal.  Cornell University professors Laura Brown and Caroline Levine will meet with the Press in the coming weeks to discuss ways for the books to be used in courses.  Brown and Levine created a feminist studies collection for this grant and are exploring ways to have these books adopted in those classes as ancillary texts.

Cornell University Press once again divided the NEH Humanities Open Book grant activities into four segments:  (1) title identification and selection; (2) rights clearance; (3) scanning and digitization; and (4) launch activities and title discovery.

The second round of the NEH Digital Humanities Open Book Program produced many new insights for the Cornell Press team including the value of maintaining older files.  As we continue to find value in our deep backlist, records have assumed new importance in the digital age.  During the first round, we made ample use of the acquisitions files (dating back to 1974) to

determine the status of third-party rights (a small number of illustrations had to be redacted). For the second round, we made better use of the cover-art files — the mint-condition, unfolded paperback covers and dust jackets found tucked-away were much easier to scan than the often scuffed, faded, torn, and defaced covers on used or archived books.

The Press's archived marketing files proved to be invaluable for helping us choose alternative titles when substitutions had to be made. The marketing files complemented the acquisitions files, presenting public documents (ads, reviews) versus the internal documents (transmittal memos, peer reviews) in the acquisition files, creating a fuller picture of each book's development and reception. Knowing who reviewed a book, and how favorably, gives us information that is extremely valuable.

The more than doubling of NEH titles and going back further into the backlist during the second round also coincided with the introduction of our new database, AllBooks. Issues that were less complex before — updating metadata, tracking sales via ISBN, and assigning a season and release date for e-books and paperbacks — needed to be reevaluated and new procedures developed to manage them. Updating and correcting metadata in particular required far more time to manage than in the past. The re-editing of all 57 copyright pages to incorporate new NEH/Mellon credit copy was another minor, but time-consuming, task.

All digital editions were loaded in March of 2018 onto Cornell Open, Project MUSE, and JSTOR. We offer paperback versions of the books for sale and those have all published. We lowered the price on all NEH OA-related paperbacks to U.S. $9.95. As of this report, 226 paperback units have sold.

Marketing for the second round of NEH OA titles included subject area e-blasts to anthropologists, classicists, literature scholars, and political scientists. The Press featured NEH OA-related paperbacks and information on the 34 titles in literary theory at the Modern Language Association in January of 2018. Cornell University Press also marketed the program directly to librarians who belong to the LYRASIS consortium of 1,200 libraries and the 200-member International Coalition of Licensed Consortia (ICOLC) in Africa, Asia, Australia, Europe, and North and South America.

There were no significant changes to report that deviated from the original grant proposal. The only challenges involved the *increased* volume of titles and the launch of a new title database requiring that metadata be created first. Increasing our print publication of titles to 57 Cornell Open titles in 2017-18 created stresses on our current publishing workflow for books. We created a new workflow to absorb these new paperback editions that required updated copyright pages, print-on-demand set-up, and new covers.

We agreed prior to undertaking the project that these print versions must not take priority over the 130 Cornell University Press frontlist titles to be published in 2017-18. Retrofitting 57 additional books into our existing workflows was challenging. Even though these books had all been previously published, a title list of this size exceeds the title count for the majority of university presses.

At the outset of receiving this grant we were also in the process of launching a new press-wide database. This created numerous challenges related to metadata, season designations, and release dates of the titles. The NEH project allowed us to establish a new metadata workflow to handle these issues for all e-books, not just those which were a part of our NEH Digital Humanities Open Book Program.

Those were the primary changes to what was a highly successful enterprise both for the Press and for the scholarship that is now once again available in multiple formats to a global audience.

## II. Accomplishments

The second NEH Digital Humanities grant enabled Cornell University Press to achieve a number of objectives. Here are the major accomplishments:

- Publication of 57 titles within nine and a half months of receiving funding
- More than 67,000 accesses in 150 countries across all platforms in only three months
- Continued validation of a methodology for analyzing and selecting impactful out-of-print and deep backlist titles using a combination of subject area specialists, scholars, circulation data, and citations
- The discovery of meticulously kept files to assist in the creation of robust metadata
- Continued refinement of a rights clearance workflow established by Karen Laun and Jim McCaffery which helped accelerate the project timeline
- The re-engagement of library consortia including LYRASIS and the International Coalition of Licensed Consortia who evaluated the project and provided feedback
- Interest from the OhioLink consortia to load all titles and monitor usage
- The expansion of the Press's Cornell Open OA footprint to include frontlist titles
- NEH Digital Humanities Open Book Program titles featured at the Charleston Conference in November of 2018 as the result of a usage study undertaken by Knowledge Unlatched with University of California Press, University of Michigan Press, and University College of London Press
- Appointment of the Press's Director to the TOME (Towards an Open Monograph Ecosystem) Task Force
- Demonstrated the ability to again collaborate successfully with colleagues in the Cornell University Library

There were two notable goals that were not achieved:

- The NEH books have still not been launched on the HathiTrust and OAPEN platforms. We continue to be in contact with those organizations and have sent MARC records for the 77 NEH OA titles.
- Titles have not yet been adopted for courses at Cornell University because they were launched in the middle of the semester.

### III. Audiences

It's difficult to measure the overall size of the audience for the Press's Cornell Open OA content. One can measure the core markets based on the subject areas covered, course adoption sales, and academic associations. The primary audience for Cornell Open includes scholars, post-graduate and undergraduate students, unaffiliated scholars, and professors and librarians in Anthropology, Classics, Literary Theory, and Political Science. The user communities for Project MUSE and JSTOR exceed several million and are located in more than 150 countries. (See Appendix, Fig. 7)

| Core Audience | Approx. Size |
|---|---|
| Anthropology | 10,000 |
| Classics | 2,000 |
| Political science | 12,000 |
| Literary Theory | 9,000 |
| TOTAL | 38,000 |

Here is usage by discipline:

| Subject Area  (# of Titles) | JSTOR  Downloads | JSTOR Downloads per Title |
|---|---|---|
| Anthropology  (11) | 1,261 | 115 |
| Classics  (3) | 267 | 89 |
| Literary Theory  (34) | 9,826 | 289 |
| Political Science  (9) | 1,564 | 174 |
| TOTAL  (57) | 12,918 | 227 |

We've also undertaken an analysis to track the actual costs of republishing classic open access texts. Securing rights, creating metadata, managing digital assets, and marketing the titles involves eight staff members across the general administration, production, manuscript editing, finance, and marketing. The Press's NEH task force meets every two weeks to discuss progress during the grant period.

| Type | Costs per title | Explanation |
|---|---|---|
| Composition | $400 | Creation of EPUB and PDF |
| Freelance | $250 | Cover preparation |
| Staff overheads | $1,000 | % of 8 staff salaries |
| TOTAL | $1,650 | |

### IV. Evaluation

While we did not conduct a formal evaluation process, we did again engage the LYRASIS and ICOLC library consortiums who developed a questionnaire for Cornell Open. We received early feedback on the program from this group. Eighty-five percent (85%) of the institutions surveyed responded that the program was useful. The open period for responding to the questionnaire will

end on September 1, 2018.  At the time of this report, only thirteen questionnaires were completed.

Here is a representative sampling of excerpts from the feedback*:*

- *Thanks for the opportunity to give feedback about this important collection --please impress upon the funders how useful this is for those of us in smaller, more underfunded academic libraries.*

- *I believe that the program is perfect.*

- *We include them in our catalog and discovery layer, so that users can discover them through full-text searches, and we promote open-access scholarly titles through our marketing and outreach.*

- *We use them to expand the library's collection and expand access to titles already in the collection.  Especially for students and faculty in literature and languages.*

- *I appreciate open access collections, but these titles are old.  I don't see my students turning to titles about Taiwan immigrants in "contemporary" New York when the book was published in 1992.  I'd apply the same argument about lack of relevancy to all of the subject areas except classics and literary criticism & theory.  In the other areas, currency matters, and these titles are far from current.*

- *While perhaps contrary to the aims of the publisher, it would be ideal to select for this program, titles which are still sometimes chosen for course readings.  Otherwise, I do wonder about the multiplicity of ways to secure access to Cornell, or any other publisher's title list.*

These comments are helpful as we plan for future open access grants.  There are librarians who appreciate the program and others who question the validity of the older titles.  Usage on Project MUSE and JSTOR confirms that these titles remain relevant, however, as all have recorded downloads thus far.

### V.  Continuation of the Project

We will be continuing our participation in the NEH Digital Humanities Open Book Program and have secured a new round of funding to publish 25 out-of-print titles in the classics, the history of science, and medieval studies.  We are already at work on publishing these titles.  We remain committed to publishing 150 open access titles by 2019 to commemorate the 150-year anniversary of Cornell University Press.

Beyond the next NEH grant, we will submit a proposal to digitize 50 additional titles that will 1) continue our interest in opening core Press disciplines and 2) identify classic Press texts concerning social justice and race-related issues.

This program has energized Press staff and has led to the creation of a backlist inventory of everything Cornell University Press has published dating back to 1869.

## VI. Long-Term Impact

For many years, the mantra of librarians was that university press monographs were not widely used. Print circulation data revealed that some books were not circulated at all. The results from Cornell Open demonstrate that OA scholarly monographs are used heavily worldwide on established platforms such as JSTOR and Project MUSE. Cornell University Press has published 77 OA monographs via the NEH program. Both NEH grants together total approximately $183,000 in grant expenditure. Since the launch of the NEH program in 2016, the price per access of NEH OA monographs is less than $1.00 and as usage continues to increase that cost per access will decrease.

As a direct result of the NEH funding, Cornell Open has extended its reach to frontlist monographs funded in the TOME (Toward an Open Monograph Ecosystem) initiative. The Cornell University Library is also interested in developing Cornell Open as a nexus for open access publishing with author tools, OA journals and monographs.

The NEH Digital Humanities Open Book Program grants have helped serve as a catalyst for open access publishing at Cornell University Press and have increased the Press's capacity for creating e-books from both the recent and deep backlist and out-of-print collections. Previously, alongside frontlist production workflows, we had only managed to create approximately five first-time e-books of still-in-print backlist titles per month. The NEH OA program has also helped refine our workflows for the creation of web-enhanced PDFs and EPUB files. We have developed a new partnership with CoreSource and this will help us expedite the creation of digital files at lower cost.

The long-term impact of Cornell Open remains to be seen but the access to classic scholarship is a noble publishing venture that is making ideas public in a way that has never been done before. The next generation of scholars will be accessing these titles and finding a path into the humanities and social sciences. The core values of "openness" and "public engagement" will contribute to the future of the humanities. These classic books have shaped courses and dissertations and will now influence the next generation of scholars.

## VII. Products

The 57 newly republished classic Cornell Open titles constitute new products as they are now available in print, PDF, EPUB, and Kindle versions. They have new copyright page information and new cover designs. They reflect the latest in print-on-demand technology. They have been recast and reinvented in the digital age with robust title level metadata, not as static print books with limited reach but as fully discoverable instances of digital scholarship designed to captivate new audiences around the world.

These OA titles also represent brand extensions of Cornell University. Through funding from the NEH and discoverability provided by JSTOR and Project MUSE, these classic open access

monographs carry the University's mission to more than 150 countries.  There is no singular activity undertaken by a university that can match the global reach of classic open access texts.

Cornell University Press was the first university press in the nation founded by the university's president Andrew Dickson White and benefactor Ezra Cornell.  It was A. D. White's vision for the diffusion of new learning and Ezra Cornell's advocacy for making higher education available to all that gave rise to a university press.  The NEH digital open access titles extend the mission of Cornell University -- that "any person" interested in "any course of study" can discover the scholarship contained within their pages.  Our insightful forebearers would most emphatically support and embrace these efforts to share knowledge with the world.
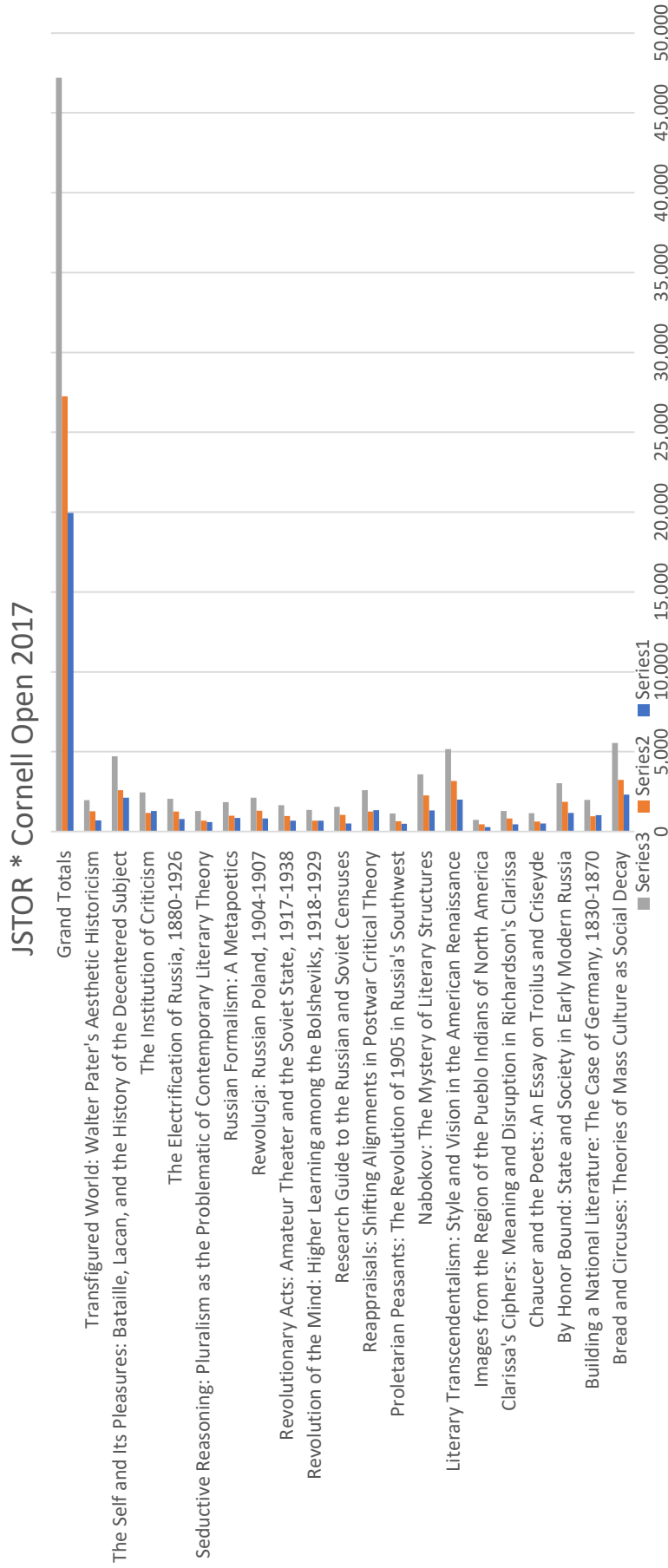
**Appendix**

Contents

# MUSE Exceeds 130,000 views in 2017



**Figure 1**

Legend: TOC Views | Chapter Downloads | Total Views and Downloads

Categories (bottom to top): Bread and Circuses; Building a National Literature by Honor Bound; Chaucer and the Poets; Clarissa's Ciphers; Images from the Region of the Pueblo Indians of...; Literary Transcendentalism; Nabokov; Proletarian peasants; Reappraisals; Research Guide to the Russian and Soviet Censuses; Revolution of the Mind; Revolutionary Acts; Rewolucja; Russian Formalism; Seductive Reasoning; The Electrification of Russia, 1880–1926; The Institution of Criticism; The Self and its pleasures; Transfigured World; Total

# JSTOR usage exceeds 45,000 views in 2017

## JSTOR * Cornell Open 2017



Series1  Series2  Series3

**Figure 2**

CORNELL OPEN
An NEH/Mellon Humanities Open Book Project

# Original NEH 20 titles continue to be used in 2018



**Figure 3**

Legend: TOC Views · Chapter Downloads · Total Views and Downloads

Categories (bottom to top):
- Bread and Circuses
- Building a National Literature
- by Honor Bound
- Chaucer and the Poets
- Clarissa's Ciphers
- Literary Transcendentalism
- Literary Indians of North America
- Nabokov
- Proletarian peasants
- Reappraisals
- Revolution of the Mind
- Revolution in the Russian and Soviet Censuses
- Revolutionary Acts
- Russian Formalism
- Seductive Reasoning
- The Electrification of Russia, 1880-1926
- The Institution of Criticism
- The Self and its pleasures
- Transfigured World
- Images from the Region of the Pueblo Indians of ...
- Research Guide to the ...
- Total

Axis values: 0, 5000, 10000, 15000, 20000, 25000, 30000

Figure 4

57 NEH 2 Titles Off to a great start

Series1 ▬ Series2 ▬ Series3 ▬

Categories of America
Bang Chan
Chaos Bound
Chinese Working-Class Lives
Critical Terrains
Democracy's Children
Echoes of Desire
Exotic Nations
Feminizing the Fetish
Franz Kafka
Greatness Engendered
History and Power in the Study of Law
Interpretive Conventions
Lesbian Mothers
Madame Bovary on Trial
Moral Aspects of Economic Growth, and Other Essays
Nuclear Summer
Poetry in Speech
Reasons of State
Signature Pieces
Telling the Truth
The Challenge of Bewilderment
The Discourse of Modernism
The Expense of Spirit
The Other Side of the Story
The Supplement of Reading
Toward a Liberalism
Women and Romance
Writing in Limbo

# 11,000 KINDLE downloads in first 2 months

**77 OA titles available**

NEH 2 Open Book Kindle Downloads
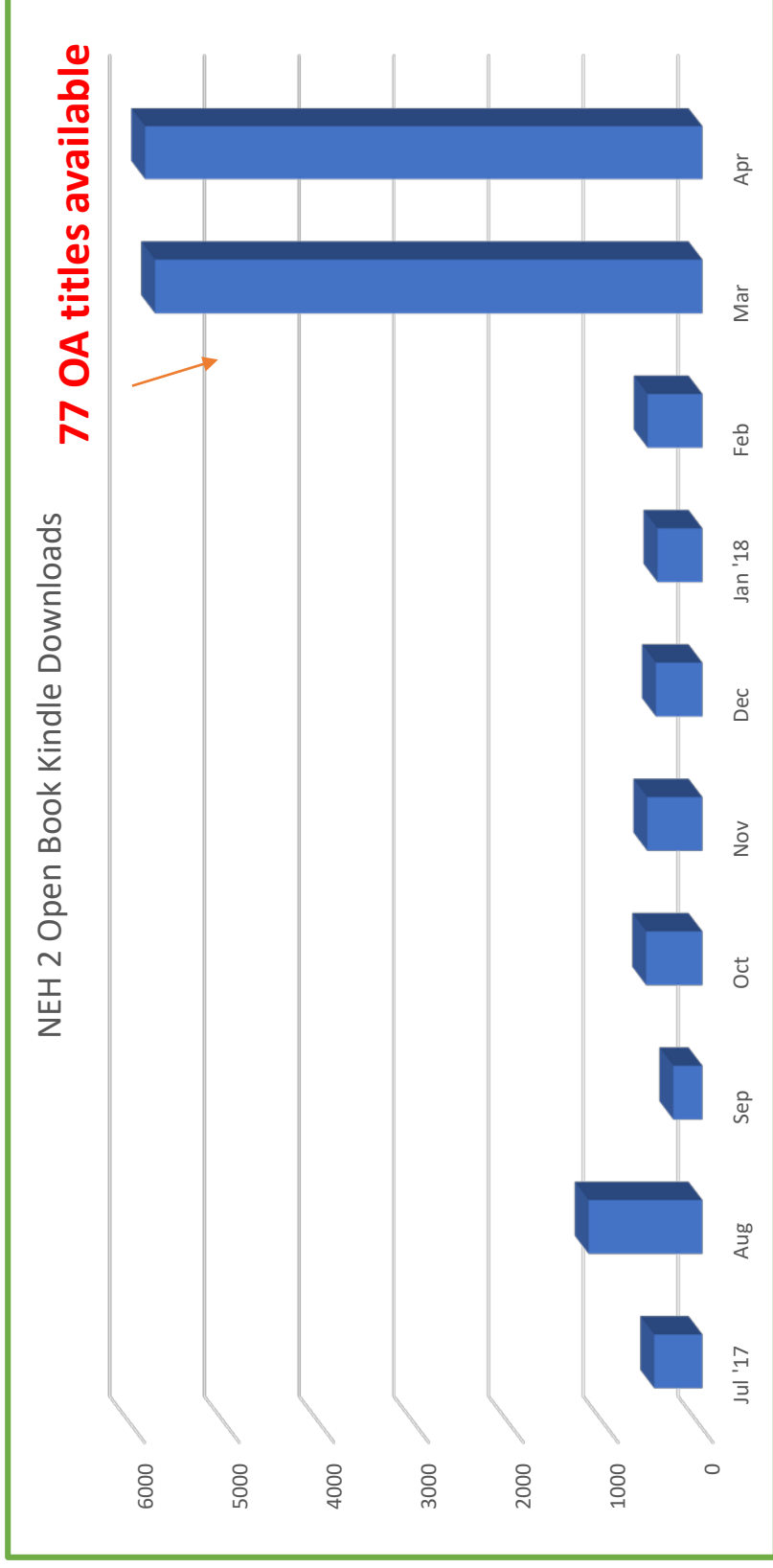


**Figure 5**

# OA Discoverability

Amazon & JSTOR in top 3

**Figure 6**

ANTHROPOLOGY (excl. U.S.)

**Figure 7**